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Personnel



UNIT SELF-ASSESSMENT GUIDE, CIVILIAN PERSONNEL

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This pamphlet is a nonprescriptive guide to assess and improve civilian personnel management and administration. It provides examples of how to assess civilian personnel using the Quality Air Force (QAF) criteria. It is a tool to help ensure compliance with civilian personnel laws and public policy as required by AFD 36-1, General Civilian Personnel Provisions and Authorities.

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Chapter 1

INTRODUCTION

1.1. Purpose. This pamphlet is a nonprescriptive tool to help assess civilian personnel management and administration, for planning and training purposes, and to help improve operational performance. It provides examples of how to assess civilian personnel using the Quality Air Force (QAF) criteria. It will help Civilian Personnel Flights (CPF) better serve customers by focusing assessments on customer requirements and on improving support processes. The guide also serves to help CPFs better advise management. As CPFs become familiar with their installation's assessment criteria, they can help units integrate civilian personnel management issues.

1.1.1. Use this pamphlet in conjunction with the QAF criteria. As explained below, the QAF criteria is based upon the Malcolm Baldrige National Quality Award (MBNQA) Criteria. The criteria changes every 2 years. This pamphlet will be revised biennially. Send comments and suggested improvements for this guide on AF Form 847, Recommendation for Change of Publication, through channels, to AFPOA/DPM, 1040 Air Force Pentagon, Washington DC 20330-1040. Required and related references and acronyms used in this pamphlet are listed in Attachment 1.

1.2. Background . As the Air Force has become increasingly involved in quality programs, installations' assessment programs have evolved. Installations conduct annual Unit Self Assessments (USA) using the QAF criteria; major command (MAJCOM) Inspector Generals (IG), in turn, validate the units' assessments. This pamphlet describes an evaluation approach using that same criteria.

1.3. Malcolm Baldrige National Quality Award Criteria. The QAF criteria are essentially the same as the Malcolm Baldrige National Quality Award Criteria--Air Force simply "blued" the Baldrige criteria. The Baldrige Award is a very prestigious award which is based upon Public Law and granted in private industry. Companies spend years preparing to compete for the award. They write a comprehensive assessment package. Five to six examiners then review the quality of their products and services. The word quality is key--the award criteria focuses on how companies implement total quality in their organization and

the results they achieve. Some award winners include Xerox, AT&T, Texas Instruments, Ritz-Carlton Hotel, and Motorola, Inc. Award recipients, in turn, enjoy the publicity, frequently publicizing the award in their advertisements. They also must share their approach to quality with others (benchmarking).

1.4. Federal Quality Awards. Within the Federal Government, similar awards have evolved. The President's Award for Quality and Productivity Improvement is given annually to a Federal agency or major component of an agency. This award recognizes agencies which implement Total Quality Management (TQM) in an exemplary manner and provide high quality service to its customers. In Air Force, the Secretary of the Air Force Unit Quality Award and the Chief of Staff of the Air Force Team Quality Award are presented annually. These awards use essentially the same criteria as the Malcolm Baldrige Award.

1.5. Unit Self-Assessments. Air Force installations use this criteria annually to conduct USAs. The purpose of a USA is to identify areas of strengths, weaknesses, and improvement actions. The MAJCOM and Wing Commander (WG/CC) determine the level at which the unit is assessed--in some cases the criteria is applied no lower than group level. In others, it may be applied at flight level and rolled up to squadron, group, and wing level. During USAs, scores are assigned and a baseline established. With that, an installation can compare their performance from year to year.

1.6. Agency Regulations. AFPD 36-1, *General Civilian Personnel Provisions and Authorities*, prescribes quality assessments; AFI 36-102, *Basic Authority and Responsibility for Civilian Personnel Management and Administration*, states management must preserve merit system principles; AFI 36-103, *Organizational Responsibility for Civilian Personnel Administration and Management*, states how HQ USAF/DPC assesses civilian personnel programs; AFPD 90-2, *Inspector General - The Inspection System*, requires each MAJCOM to establish QAF criteria.

Chapter 2

ASSESSMENT CRITERIA

2.1. Organization of Criteria. The QAF criteria are adopted from the seven criteria categories of the Malcolm Baldrige National Quality Award. The 7 categories are further divided into 24 Examination Items as shown in Table 2.1. The criteria's Category and Examination Items are

commonly referred to by their numbers as shown. The Categories and Examination Items are further divided into 54 Areas to Address (not shown). Point values are assigned to each Item. The point values are listed beside the Categories and Items to illustrate their relative importance.

Table 2.1. Assessment Criteria.n

<u>Examination Categories/Items</u>	<u>Point Values</u>
1.0 Leadership	(9%)
1.1 Senior Executive Leadership	45
1.2 Leadership System and Organization	25
1.3 Public Responsibility and Corporate Citizenship	20
2.0 Information and Analysis	75 (7.5%)
2.1 Management of Information and Data	20
2.2 Competitive Comparisons and Benchmarking	15
2.3 Analysis and Use of Company-Level Data	40
3.0 Strategic Planning	55 (5.5%)
3.1 Strategy Development	35
3.2 Strategy Deployment	20
4.0 Human Resource Development and Management	140 (14%)
4.1 Human Resource Planning and Evaluation	20
4.2 High Performance Work Systems	45
4.3 Employee Education, Training, and Development	50
4.4 Employee Well-Being and Satisfaction	25
5.0 Process Management	140 (14%)
5.1 Design and Introduction of Products and Services	40
5.2 Process Management: Product and Service Production and Delivery	40
5.3 Process Management: Support Services	30
5.4 Management of Supplier Performance	30
6.0 Business Results	250 (25%)
6.1 Product and Service Quality Results	75
6.2 Company Operational and Financial Results	130
6.3 Supplier Performance Results	45
7.0 Customer Focus and Satisfaction	250 (25%)
7.1 Customer and Market Knowledge	30
7.2 Customer Relationship Management	30
7.3 Customer Satisfaction Determination	30
7.4 Customer Satisfaction Results	100
7.5 Customer Satisfaction Comparison	60
	1000

Source: 1995 Malcolm Baldrige National Quality Award Criteria

2.1.1. Each category is weighted according to its importance in the overall evaluation. Note that Categories 6.0, Business Results, and 7.0, Customer Focus and Satisfaction, are each worth 25 percent of the evaluation.

2.1.2. Of the 1,000 possible points to earn, the majority of Baldrige Award applicants receive scores of less than 500 points. Generally, only those applicants with scores of more than 600 points qualify for a site visit. During a site visit, a small team of examiners validate the self-assessment. This is similar to the Quality Air Force Assessment (QAFA) process.

2.2. Applying the Criteria. Although scoring and application of criteria are not required, a score is a valuable tool with which to compare performance. Therefore, depending upon their size, a CPF may elect to conduct and score a USA within the Flight. Refer to the Malcolm Baldrige National Quality Award Criteria for detailed scoring information. A copy of the criteria may be ordered by calling the Malcolm Baldrige National Quality Award, National Institute of Standards and Technology, at 301-975-2036. The following information is provided as general information on how the self-assessment process works.

2.2.1. A team is assembled to conduct the assessment. The number of team members depends upon the size and complexity of the unit being assessed. If an organization is small, the whole team may conduct the self-assessment together. Typically, seven individuals form the assessment

team. Each individual is responsible for one of the seven major categories. Another possibility is to divide the team into four to six smaller subteams. Each of the smaller subteams may be responsible for reviewing one or more of the categories. Here's a sample structure:

Whole team: Category 1

Subteam 1: Categories 2 & 3

Subteam 2: Category 4

Subteam 3: Category 5 & 6

Subteam 4: Category 7

2.2.2. The team gathers the information necessary to write a report for their assigned categories. Once the report is consolidated, the team assigns points for each Item based upon the relative weight of the category (see Table 2.1). The scoring criteria prescribes whether the categories are assessed based upon the following three evaluation dimensions: approach, deployment, and results. Approach means the method used; Deployment means the extent to which the approach is applied; and Results means the outcome. Points are assigned based upon a scoring scale of 0-100 percent using the scoring guidelines at Attachments 4 and 5.

2.2.3. While each of the seven categories is evaluated separately, there are relationships or linkages between the seven, and they function together as a system. During a QAFA, examiners will check to see Items are appropriately linked. For example, a CPF's plan to improve the quality of candidate referrals (Item 3.2) should be linked to Post-Placement Surveys (measurement indicators) under Item 2.1.

Chapter 3

USING THE PAMPHLET

3.1. Nonprescriptive Tool. This pamphlet does not prescribe how to use the guide or how to conduct self-assessments. It should be used as a tool to assess and improve the civilian personnel program. You may refer to the pamphlet as a part of an informal internal assessment or as a part of your installation's annual USA. Apply the criteria within the CPF, or you may assist units in applying the criteria at their level. Within the CPF, you may apply all or select some of the criteria for application. If you choose to apply all of the criteria and come upon an Item which is not relevant, simply explain why. Unless your installation requires flights to score themselves, choose whether or not to assign points during your assessment.

3.1.1. An option to the formal scoring process is to simply identify, by category, whether it "Needs Improvement," is "Adequate," or is "Excellent." In applying these scores, do not forget to look for: Approach and Deployment in Categories 1, 2, 3, 4, 5, and 7 (see Attachment 4); and Results in Categories 6, and 7 only (see Attachment 5). Keep in mind you should have evidence to support your assessment.

3.2. Compliance and Quality Assessments. Compliance items should be addressed during internal assessments. Where appropriate, how to cover compliance issues using the QAF criteria is indicated. Failure to meet compliance requirements means civilian personnel key processes (see Attachment 2) have failed. For example, failure to grant employment preference entitlements indicates the process of filling jobs is broken. This failure may become apparent under Category 5.0, Process Management.

Compliance issues are addressed under the following Items: 1.2, Leadership System and Organization; 2.1, Management of Information and Data; 5.2, Process Management: Product and Service Production and Delivery; and 6.2, Company Operational and Financial Results.

3.3. Performance Measurement Indicators. The criteria calls for evidence of a scientific approach to management or management by fact. Many of the categories and examination Items call for a description of how an organization makes decisions based on analysis of performance measures or indicators. Quality Assessment Metrics are provided as tools to assess trends and improve performance. The metrics may be used under Category 6.0, Business Results. The metrics are aligned with key processes and merit system principles (see Attachment 3).

3.4. Personnel Management and Personnel

Administration. The degree that civilian personnel issues are addressed depends upon what level of the organization (unit) the criteria is applied. At Group Level, civilian personnel will be addressed on a macro perspective--predominately personnel management; at MSS or CPF level, the assessment will likely include both personnel management and personnel administration issues. Table 3.1 shows examples of civilian personnel management and administration issues by Item. These examples (and others) are expanded upon under each Item in Chapter 4.

Table 3.1. Personnel Management and Administration Examples.

<u>Item</u>	<u>Unit Personnel Management</u>	<u>CPF Personnel Administration</u>
1.1, Senior Executive Leadership	Labor/management partnerships	Management advisory Services
1.2, Leadership System and Organization	Employee recognition programs	Compliance reviews
1.3, Public Responsibility and Corporate Citizenship	Job training programs	Federal Equal Opportunity Recruitment Program (FEORP)
2.1, Management of Information and Data	Civilian employment execution rates	Defense Civilian Personnel System (DCPDS) quality control
2.2, Competitive Comparisons and Benchmarking	Contracting out studies management structures	Comparisons of positions
2.3, Analysis and Use of Organization Level Data	Civilian hiring freeze	Quality assessment metrics
3.1, Strategy Development	Plans for transfer of function	Training plans

3.2, Strategy Deployment	Implementing flextime as quality of life initiative	Partnership with regional center to improve quality of candidate referrals
4.1, Human Resource Planning and Evaluation	Reduction in supervisory ratio; customer service training; upward mobility; affirmative employment plans	See Note 1
4.2, High Performance Work Systems	Performance plans; position management; training; committee structure; merit promotion plans	See Note 1
4.3, Employee Education, Training and Development	Organization/installation training plans	See Note 1
4.4, Employee Well-Being and Satisfaction	Assessment of Equity; family leave, flextime; upward mobility awards	See Note 1
5.1, Design and Introduction of Products and Services	See Note 2	Reduction in Force (RIF)
5.2, Process Management: Product and Service Production and Delivery	See Note 2	Improved regulatory compliance; improved staffing timeliness
5.3, Process Management: Support Services	See Note 2	CPF's partnership with budget office
5.4, Management of Supplier Performance	See Note 2	CPF's relationship with employment offices
6.1, Product and Service Quality Results	Accuracy of projected civilian pay funding	Fill rates; timeliness rates
6.2, Company Operational and Financial Results	Charts, Personnel Equity(Quality Assessment Metrics)	Regulatory compliance rates
6.3, Supplier Performance Results	Contractor performance	Quality of regional CPF referrals
7.1, Customer and Market Knowledge	See Note 3	Strike contingency plans
7.2, Customer Relationship Management	See Note 3	Performance improvement plans
7.3, Customer Satisfaction Determination	See Note 3	Post-placement surveys
7.4, Customer Satisfaction Results	See Note 3	Charts, placement satisfaction trends
7.5, Customer Satisfaction Comparison	See Note 3	Charts, comparison of No Show training trends

NOTES:

1. Human Resource Development and Management (Category 4.0) functions are key processes for the Civilian Personnel Flight and are addressed in Items 5.1 and 5.2.
2. Management's role in Human Resource functions should be addressed in Items 4.1 to 4.4.
3. Management's relationship to employees is covered in 4.0; generally, only the CPF deals with civilian employees as customers.
- 3.4.1. Several Items do not have examples listed. Category 4.0, Human Resource Development and Management,

generally refers to how personnel management is aligned with strategic and business plans; as such, personnel administration issues are not applicable. Category 5.0, Process Management, addresses how an organization manages its key processes; civilian personnel processes are generally only key to a CPF. Similarly, Category 7.0, Customer Focus and Satisfaction, focuses on an organization's assessment of customers of their key processes. Generally only a CPF deals with civilians as a customer group, with the possible exception of Non Appropriated Funds (NAF) Human Resource Offices.

Chapter 4

CIVILIAN PERSONNEL EXAMPLES

4.1. Organization of Chapter. This section is organized by the 1995 Quality Air Force Criteria Examination Categories and Items. For each Item, examples of civilian personnel management and administration issues are listed. For Category 4.0, Human Resource Development and Management, further examples are listed for each sub-area. These additional examples were provided to assist units in incorporating civilian personnel management issues in their assessment. You may want to list each item on a separate page to facilitate use of the guide.

4.1.1. The appropriate evaluation elements (approach, deployment, results) are listed for each Item. Furnish (and score, if applicable) your input accordingly.

4.2. Leadership (Category 1.0).

4.2.1. Senior Executive Leadership (Item 1.1: Approach & Deployment). This Item addresses how the senior executives set strategic directions and build and maintain a leadership system conducive to high performance, individual development, and organizational learning.

4.2.1.1. In this Item, commanders might describe how they promote an effective labor management partnership. Other appropriate examples might include commanders' involvement with employee recognition, affirmative employment, and sexual harassment prevention programs.

4.2.1.2. At the CPF level, the Personnel Officers might describe their management advisory services. For example, they might describe their involvement in promoting accountability to merit system principles or integrating affirmative employment objectives in serviced organization's strategic plans. Within the CPF, Personnel Officers might describe how they created a customer focus among CPF staff members.

4.2.2. Leadership System and Organization (Item 1.2: Approach & Deployment). This Item addresses how the company's leadership system is translated into an effective overall organization and management system - focused on performance.

4.2.2.1. This Item might call for a commander's description of the process for: ensuring alignment of subordinate units' staffing plans, communicating endorsement of employee recognition programs (and reinforcing commitment by recognizing superior performers), and/or reviewing achievement of training requirements.

4.2.2.2. Within the CPF, Personnel Officers might describe how they review their work and how the reviews are used to improve performance. For example, how are quality assessments conducted to ensure legal requirements are met and key processes produce desired results? How does this reinforce accountability to merit system principles?

4.2.3. Public Responsibility and Corporate Citizenship (Item 1.3: Approach and Deployment). This Item addresses how an organization integrates its public responsibilities and corporate citizenship into its planning and performance improvement practices.

4.2.3.1. In this Item, a commander might describe proactive programs which promote relationships with neighboring communities. This might include a description of an aggressive local recruitment program targeted at minorities and women. Another example might be an organization's involvement in providing job training opportunities for students, people with disabilities, or the unemployed.

4.2.3.2. Similarly, a CPF might describe their recruitment programs at minority institutions, veterans' organizations, and other public and private groups. They may also describe their involvement in the local community such as Rotary Club or Chamber of Commerce.

4.3. Information and Analysis (Category 2.0).

4.3.1. Management of Information and Data (Item 2.1: Approach and Deployment). This Item addresses how an organization selects and manages performance measurement indicators.

4.3.1.1. At the wing level, this Item might address the system by which civilian employment execution rates are collected and analyzed. This might include comparing historical employment trends, mission performance, and anticipated work requirements/strategic plans.

4.3.1.2. In this Item, a CPF might describe their systems to assess regulatory compliance, performance of key processes, customer satisfaction, or database accuracy. Describe how you measure performance, and how you use those measurement indicators. For example, describe how the Quality Assessment Metrics are used to manage key processes.

4.3.1.3. For example, prior to a RIF, a CPF might run DCPDS Quality Control Direct English Statement Information Retrieval (DESIRE) to assure accuracy of service computation dates. A CPF might also describe their process for annual employee certification of experience briefs to assure credibility of the promotion system.

4.3.1.4. Another example might be a description of how a CPF uses staffing performance measurement indicators. This may include the collection and analysis of post-placement surveys to assess and improve how they fill jobs. The CPF might describe how they analyze customers' satisfaction levels by organization, position type, timeliness, and recruitment source. They may describe how they provide customers with Standard Form 52, **Request for Personnel Action**, tracking information through a local area network. They may further describe how they share this data

with candidate suppliers such as OPM, Department of Defense (DoD), Career Programs, or Regional Centers.

4.3.2. Competitive Comparisons and Benchmarking (Item 2.2: Approach & Deployment). This Item addresses how an organization selects and uses competitive comparisons and benchmarking to drive improved performance.

4.3.2.1. Contracting out studies are an example of how an Air Force unit compares their position structure with that of private industry. Where they find mission requirements could be met at significantly lower payroll costs, they might set a target to achieve those efficiencies in-house.

4.3.2.2. Following the same example, a CPF may assist management by collecting and comparing organization structures for similar units at other installations. This might involve comparing numbers of positions, average grades, and supervisory ratios. Describe how this is accomplished. For example, were the Quality Assessment Metrics used to compare performance?

4.3.2.3. Another example might include a description of the process for improving the performance management program. A CPF's process may involve comparing different installations' performance appraisal trends. Where an installation has managed to reduce inflation rates, a CPF's process may compare quality control procedures.

4.3.3. Analysis and Uses of Organization-Level Data (Item 2.3: Approach and Deployment). This Item addresses company-level analysis--how an organization takes action based upon an understanding and analysis of cause/effect connections among processes and between processes and operational results.

4.3.3.1. An example might address an organization's process for analyzing civilian employment execution rates. As a result of this process, resources may be realigned or hiring restrictions imposed to support predicted overhire requirements.

4.3.3.2. The CPF might describe their process for analyzing their installation's recruitment program. This process might include the analysis of applicant inventories, timeliness statistics, and/or post-placement survey results. The results of this analysis may lead to modifications of applicant supply file procedures.

4.3.3.3. The CPF might also describe how they analyze the Quality Assessment Metrics. For example, where trend lines differ from the Air Force aggregate, is related data analyzed? How are the metrics used to assess accountability to merit system principles?

4.4. Strategic Planning (Category 3.0).

4.4.1. Strategy Development (Item 3.1: Approach and Deployment). This Item addresses how an organization develops strategies to improve short- and long- term operations. It further assesses the organization's processes to deploy such strategies. This Item emphasizes competitive leadership, customer-focused strategy, and continuous improvement.

4.4.1.1. At wing or group level, a unit might describe their short- and long- term planning processes under which they plan to absorb a transfer of function. The plan may call for an assessment of current performance at the losing installation (and a plan to continue performance measurement during and after the transfer). The plan may also call for the development and administration of initial and follow-on surveys of incoming personnel to determine their needs. In order to maintain/improve service and morale, the unit's plan may include establishing a committee with representatives of: losing and gaining organizations, military and civilian personnel representatives, the medical group, education, transportation, comptroller, labor, and local community representatives. This committee may be tasked with developing a sponsor program for incoming personnel to include house-hunting trips, or spouse employment services. Another facet may include the development of training and publicity plans.

4.4.1.2. Following the same example of a transfer of function, the CPF may plan to capture and provide planning information regarding average payroll costs, skill levels, and retainability of incoming personnel. Such management advisory services are key to a commander's strategic planning. Other examples may include a CPF's process to promote/develop a link between organization's strategic plans and the following plans: civilian employment, mobilization, strike contingency, affirmative employment, staffing plans, or installation training plans.

4.4.2. Strategy Deployment (Item 3.2: Approach and Deployment). This Item addresses how an organization's plans are executed. Is there an action plan which spells out required actions, responsible officials, priorities, performance tracking? Is the plan dynamic? For example, does it project future operational requirements and performance results? Consider whether action plans are executed in such a manner as to achieve alignment and consistency.

4.4.2.1. For example, one of a wing's strategic goals might be to "Improve the Quality of Life for Organizational Members." This goal might include an action plan to "Improve opportunities for adequate rest and recuperation". The Support Group may be tasked with increasing recreational activities by 25 percent. As they plan to implement this tasking, they may conduct a survey: (1) to measure current recreational activities and participation, and, (2) to determine recreational desires of personnel. They may compare their facility with other installations and with neighboring recreational facilities. With that, they may staff a request to fund construction of an expanded gym.

4.4.2.2. As a management advisor, the CPF may participate by: coordinating the survey with labor organizations, assessing the impact of flexible work schedules (Would flextime increase access to limited recreational facilities?), and projecting the number of potential civilian employee users for the expanded gym.

4.4.2.3. Internally, the CPF may have a well constructed plan to increase the quality of referred candidates. This plan

is aligned with the key process of “filling jobs resulting in a quality work force” and may also be aligned with the serviced organization’s plans. The CPF’s action plan may include measuring selecting supervisors’ satisfaction levels, automating the survey process, realigning resources to study internal work processes and cycle times, and comparing other federal employers’ candidate referral programs. The plan may also take into consideration the impact of regionalized servicing. Accordingly, the CPF may partner with the regional center to fulfill this plan.

4.5. Human Resource Development and Management (Category 4.0).

4.5.1. Human Resource Planning and Evaluation (Item 4.1: Approach & Deployment). This Category addresses the following two Areas: (1) how personnel management plans are tied to an organization’s strategic and operational plans, and (2) how personnel management is evaluated and improved.

4.5.1.1. Under Area **4.1a**, an organization may describe examples of the relationship between their personnel and overall operation plans, goals, and objectives. The Support Group may describe, for example, how Civil Engineering’s Zonal Maintenance reorganization plans relate to plans to cross train employees.

4.5.1.2. A CPF might describe their plans to improve customer service. These plans may involve providing customer service training to front-line (customer-contact) CPF staff members. The plans may further involve comparing pre- and post-training customer satisfaction survey results.

4.5.1.3. The criteria also calls for a description of an organization’s plans or goals for the following four Areas: (1) changes in work design to improve flexibility, innovation, and rapid response; (2) employee development, education, and training; (3) changes in compensation, recognition, and benefits; and (4) recruitment, including expected or planned changes in demographics of the work force. Table 4.1. shows an example of an organization’s input.

4.5.1.4. Under **Area 4.1b**, a unit addresses how they evaluate and improve their personnel programs including training, development, and employee morale. This Area also addresses how personnel management is linked with strategic planning and operational results.

4.5.1.5. In this Area an organization might describe the types of personnel measurement indicators they use and how they use them. They may, for example, describe how they analyze personnel accession, utilization, and attrition rates. Other potential personnel indicators include minority representational data, discrimination complaints, grievances, training, performance appraisals, and awards. Describe how the data is evaluated and compared with operational performance indicators. For example, is projected employee turnover compared with operational performance? Are accession rates considered during the training and development budget process? Do the number of grievances and complaints call for alternative dispute resolution initiatives? Does operational performance improve as a result of training? Have projected manpower reductions been factored into recruitment strategies?

Table 4.1. Sample Summary of Key Personnel Goals and Plans.

Personnel Goals	Improvement Plans	Link to Organization Strategies/ Objectives
<u>Changes in Work Design to Improve Flexibility, Innovation, and Rapid Response</u>		
Reduce the ratio of supervisors to employees from 1:7 to 1:10.	Partner with labor	Promote teamwork and organizational efficiencies
	Conduct position review	
	Assess impact of abolishing positions	
	Develop plans to minimize adverse impact	
	Develop short and long range plans to achieve objectives	
	Publicize initiatives	
<u>Employee Development, Education, and Training</u>		
Provide customer service training to 90	Assess training sources and types	Promote teamwork and organizational efficiencies
of all Customer Contact Personnel		

Create Career Broadening Developmental Opportunities for 40 of Underutilized Employees	Increase training budget Hire two instructors Provide training Analyze critiques; revise curriculum accordingly Update personnel records Partner with labor	Strengthen readiness Improve quality of life Promote teamwork and organizational efficiencies
	Survey other federal employer's career broadening plans Survey organizations to identify underutilized employees Increase training budget Review staffing plan to identify potential positions for redesign Develop competitive selection process	Strengthen readiness Improve quality of life
<u>Compensation, Recognition, and Benefits</u>		
Include a customer service performance standard for all customer service employees	Partner with labor Appoint organizational representatives Provide customer service training Develop sample performance standards and elements Incorporate new performance standard Analyze performance appraisals and organizational customer satisfaction rates	Promote teamwork and organizational efficiencies
<u>Recruitment</u>		
Hire five minority women as engineers during the next two years	Partner with labor Identify projected vacancies; target five positions for restructuring Assess recruitment pools Partner with minority academic institutions Budget for tuition assistance programs Develop mentor program Publicize program Develop candidate evaluation and ranking criteria Accept, rate, refer, select candidates Conduct quarterly placement follow-up surveys	Promote teamwork and organizational efficiencies

4.5.2. High Performance Work Systems (Item 4.2: Approach & Deployment). This Item addresses how an organization's structure, compensation program, and recognition program promotes high performance.

4.5.2.1. **Area 4.2a** specifically addresses how an organization is structured to promote high employee performance. For example, an organization may describe how they incorporated organization goals into performance work

plans. They might also describe how they organized work assignments to promote teamwork such as general multifunctional job descriptions, reduction in the number of supervisors, or cross training.

4.5.2.2. Another example might include a description of effective committee structures. Active participation of labor on management committees may encourage positive bargaining unit employee contributions. Any committees with members representing labor, internal and external suppliers, and/or customers may also be described when such representation promotes cooperative teamwork and communication. A CPF might describe an Equal Employment Opportunity Committee structure when the membership includes management, labor, Special Emphasis Program Managers, or representatives from minority institutions.

4.5.2.3. **Area 4.2b** addresses how an organization's employee compensation and recognition programs reinforce high performance. Ideally, employee incentives should be aligned with the job structure described above (Area 4.2a).

4.5.2.4. For example, an organization may appraise an employee's effective participation as a team member annually. That appraisal, in turn, may be used as a tie breaker during the competitive promotion and referral process. In addition, the promotion program may give extra points for employees who participate in suggestion programs. When ranking candidates, interview questions may be designed to assess innovation, creativity, and risk taking.

4.5.3. Employee Education, Training, and Development (Item 4.3: Approach & Deployment). This Item addresses how an organization develops its work force.

4.5.3.1. **Area 4.3a** calls for information on how education and training builds the organization and employee capabilities. For example, an organization may describe employee orientation programs which introduce new members to their structure, strategic plans, or values. Other examples might include how a unit plans for individual employee development, their job rotation program, or customer-contact training program.

4.5.3.2. **Area 4.3b** calls for information on how education and training are designed, delivered, reinforced, and evaluated. In this Area, an organization might describe how they determine training needs based upon an analysis of projected job requirements and of employee skill levels. They might further describe how they evaluate training. For example, do they evaluate training's impact on work performance?

4.5.4. Employee Well-Being and Satisfaction (Item 4.4: Approach and Deployment). This Area addresses how an organization maintains a work environment which promotes employee well-being and development.

4.5.4.1. **Area 4.4a** calls for information on how an organization maintains a safe and healthy work environment. In this Area, address how employee well-being factors are included in improvement activities. For example, an organization may describe indicators they use to measure fairness and equity among employee groups. Where

disparate treatment is indicated, they may further describe goals they established to achieve parity.

4.5.4.2. **Area 4.4b** calls for information on an organization's approaches to enhance employee well-being, satisfaction, and growth potential. For example, an organization might list: transition assistance, family leave, flexible work schedules, upward mobility, and employee award programs. An organization might describe their dispute resolution processes such as Inspector General, discrimination, grievance procedures, or classification appeal.

4.5.4.3. **Area 4.4c** calls for information on how an organization determines employee satisfaction, well-being, and motivation. Include a brief description of measurement indicators including, turnover rates, grievances, worker compensation, survey results, safety, or exit interviews. Describe how the information is used to improve morale or prevent morale problems. For example, are employee complaints analyzed to assess root causes of a series of complaints? As a result of this analysis, did an organization provide Sexual Harassment Training or implement alternative dispute resolution to address employee problems?

4.6. Process Management (Category 5.0).

4.6.1. Design and Introduction of Products and Services (Item 5.1: Approach & Deployment). This Item examines how an organization designs and introduces products and services.

4.6.1.1. The Support Group, for example, might describe their processes for expanding wellness programs for civilians. Their process may have begun with an analysis of employee suggestions or survey responses. With that, the process may have included a comparison of survey results with other installations. That may have led to a comparison of employee benefits. A committee may have been established to ensure integration, coordination and capability of facilities and services. They may have implemented a test and follow-up surveys to ensure new or expanded activities achieved the desired results.

4.6.1.2. A CPF may describe their process for modifying staffing processes in anticipation of a RIF. This process might include establishing a RIF Planning Committee to determine impacted commander's requirements and plan accordingly. The committee's charter might determine customer requirements and incorporate them in the RIF planning process. The committee might consider: freezing vacancies, filling critical positions temporarily, restructuring positions, waiving qualifications, retirement incentives, and transition assistance. The RIF planning process might also include conducting a mock RIF to map out the bumping and retreat process. After the RIF is administered, the RIF Planning Committee may reconvene to evaluate and improve the RIF planning process. For example, they may decide to invite labor representatives to participate in subsequent RIF Planning Committees. The post-RIF evaluation might further evaluate how RIF notices were delivered to streamline and improve subsequent delivery processes.

4.6.2. Process Management: Product and Service Production and Delivery (Item 5.2: Approach & Deployment). This Item addresses how an organization maintains and improves its key processes. It calls for a description of the key processes and how performance is measured, analyzed, and improved.

4.6.2.1. In this Item, a CPF might provide information on how they analyze and ensure their key processes produce desired results (Attachment 3). This might include how processes are modeled to identify improvement opportunities. Evaluation of customers' satisfaction levels is another way to identify improvement opportunities. A CPF might describe how they measure customers' satisfaction with the quality and timeliness of candidate referrals. Quality Assessment Metrics and benchmarking might also be described if they're used to evaluate/improve performance.

4.6.2.2. Here a CPF would describe how they measure performance related to regulatory compliance. For example, one might describe their process of selecting and reviewing a random sample of personnel actions. This description might include a general discussion of how compliance is determined such as the types and frequencies of in-process and end-of-process reviews, sample size, content, uses, who conducts the reviews, or the degree of automation. Does the assessment process reinforce accountability, foster learning and stimulate improvement? Is the approach prevention-based? Is it made at the earliest point in the process to minimize problems? Does it discern root causes? Where problems are uncovered, does corrective action involve correcting the source (root cause)? Are processes improved to achieve better compliance and operational performance?

4.6.3. Process Management: Support Services (Item 5.3: Approach & Deployment). This Item addresses how an organization maintains and improves its key support service processes. Support services are those which support an organization's product and/or service. Similar to Item 5.2, this calls for a description of key support processes and how the performance is measured, analyzed, and improved.

4.6.3.1. The CPF provides support service for serviced organizations. Therefore, an organization might describe how they determine, coordinate, and evaluate civilian personnel servicing requirements. An organization might describe an example of how they managed civilian personnel requirements during a reorganization.

4.6.3.2. Examples of support services for CPFs might include internal administrative budgeting, files maintenance, publication maintenance, communication and automation support, or provision of office supplies.

4.6.3.3. A CPF might describe their analysis of communication support services. A CPF may need a communication network sufficient to transmit referral certificates to serviced organizations. Serviced organizations may need these referrals within 2 hours of certification. In order to meet this standard, the CPF might measure and analyze communication network support processes. Describe how the timeli-

ness and accuracy of transmissions are measured, analyzed and improved.

4.6.4. Management of Supplier Performance (Item 5.4: Approach & Deployment). This Item addresses how an organization manages performance of goods and services provided by external suppliers.

4.6.4.1. An organization might describe their relationship with a provider of training services. They may negotiate, for example, with a neighboring VoTech Center for a customized training course. They may measure those services by analyzing course critiques and by comparing pre- and post-training performance. Based upon this analysis, they may negotiate course revisions.

4.6.4.2. Examples of external suppliers for a CPF might include: colleges and universities, employment offices, career programs, Office of Personnel Management, Defense Accounting and Finance Centers, Merit System Protection Board, DoD Priority Placement Program, and regional centers.

4.6.4.3. In this Item, a CPF might describe who their key suppliers are, what services they provide, performance expectations, how those performance requirements are measured and analyzed, how this information is fed back to suppliers and, ultimately, how CPF service is improved.

4.6.4.4. For example, one of a CPF's key suppliers might be their State Employment Office. This office advertises vacancies and refers candidates. A CPF may expect candidates' resumes in a timely manner. Together, the CPF and Employment Office may establish a timeliness standard of 5 workdays from the date the announcement closes. The CPF and Employment Office may measure this expected performance by tracking the date candidates were referred and resumes received. After collecting this information, the CPF may meet quarterly with State officials to evaluate performance trends, and improve their processes and working relationship.

4.7. Business Results (Category 6.0).

4.7.1. Product and Service Quality Results (Item 6.1: Results). In this Item, organizations provide performance indicators of their product and service quality. Typically, Category 6 consists primarily of charts, graphs, and tables reflecting service levels and trends.

4.7.1.1. In this Item, a Comptroller might show charts reflecting civilian pay funding and execution rates. By comparing projected and actual execution rates, they may be able to assess the quality of their performance.

4.7.1.2. In this Item, a CPF would show the charts they use to measure and analyze delivery of key processes. For example, a CPF might provide data derived from customer surveys, timeliness statistics, and post-placement follow-up questionnaires which indicate how effectively they fill positions. The charts should reflect trends, including at least 3 years worth of data, and appropriate comparative information. Comparative data might include the Air Force

and/or government-wide averages, MAJCOM best, and appropriate benchmarks.

4.7.1.3. In addition to showing charts, briefly explain what the chart depicts. Ideally, most of the data will show positive trends. When a drop has occurred, provide an explanation. Where the decline was within the organization's control, provide evidence that the problems were investigated and actions taken to correct the problems.

4.7.2. Company Operational and Financial Results (Item 6.2: Results). This Item addresses the operational and financial performance of the organization. Paralleling Item 6.1, which focuses on requirements that matter to the customer, Item 6.2 focuses on factors that best reflect overall operational performance.

4.7.2.1. Under this Item, an organization might show Quality Assessment Metrics which reflect the effective use of civilian personnel resources such as Work Force Representation, Civilian Employment Planning, Supervisory Ratios, Training and Development, or Attrition Rates. They might also show charts indicating their adherence to merit system principles such as Years of Service, Performance Rating Distribution, Performance Award Rates, or Disciplinary Rates. As in Item 6.1, the charts should reflect trends and include appropriate comparative data.

4.7.2.2. A CPF might include data on current levels and trends in operational performance including legal and regulatory compliance. For example, show charts on personnel action accuracy rates, merit promotion, position classification, or employee benefits and entitlements. They might also include charts on support service performance (reference Item 5.3) if applicable.

4.7.2.3. As in Item 6.1, explain what the chart depicts. If a decline occurred, provide an explanation and, if appropriate, evidence the problems were investigated and corrective actions taken.

4.7.3. Supplier Performance Results (Item 6.3: Results). This Item calls for performance indicators of supplier performance. Include charts reflecting performance trends and the results of the partnership described in Item 5.4. The charts should also include comparative information.

4.7.3.1. An organization may show charts reflecting performance trends of technical training. Where the charts do not show positive performance trends, the organization may report selection of a better performing training source.

4.7.3.2. For example, a CPF might include a chart on the quality and timeliness of resumes received from their State Employment Office. If the performance trends have not improved, the CPF may explain how they modified their recruitment strategies accordingly.

4.8. Customer Focus and Satisfaction (Category 7.0).

4.8.1. Customer and Market Knowledge (Item 7.1: Approach & Deployment). This Item addresses an organization's process for determining customer requirements.

4.8.1.1. In this Item, the Support Group might describe their processes for determining customer requirements for

Human Resource Offices supporting NAF employees. This process may include notifying and partnering with labor when they use surveys which may include bargaining unit employees. Another example might include collecting new customer requirements during New Employee Orientation programs.

4.8.1.2. A CPF might describe their processes including participation in staff meetings and committees, customer surveys, management of customer complaints, customer suggestions, analysis of post-placement and training critiques, or pre-contract negotiation surveys. Describe how customer requirements are determined during the development of the following plans: Mobilization Plans, Installation Training Plans, Staffing Plans, Affirmative Employment Plans, Civilian Employment Plans, or Strike Contingency Plans. Elaborate by specifying what information is sought, the frequency, and methods of collection. Does the system address different customer segments? Does the CPF evaluate and improve their processes for determining customer requirements such as assessing the stratification of customer surveys, timing of critiques, or streamlining of suggestion process?

4.8.2. Customer Relationship Management (Item 7.2: Approach & Deployment). This Item addresses how an organization creates a constructive relationship with their customers including: how they manage customer responses, how they ensure complaints are resolved; their follow-up program(s), and their evaluation/improvement of the customer relationship processes.

4.8.2.1. The Support Group, for example, might describe what they do with the results of Quality of Life Surveys.

4.8.2.2. A CPF may describe how they respond to customer input and how they provide feedback to customers. Does the CPF's process include acknowledging receipt of SF 52? Upon notification that an employee is not meeting performance standards, does the CPF work with the organization to develop training plans?

4.8.3. Customer Satisfaction Determination (Item 7.3: Approach and Deployment). This Item addresses how an organization determines customer satisfaction relative to competitors and how an organization improves their process for comparing satisfaction levels.

4.8.3.1. For example, the Support Group may compare the results of their Quality of Life Survey with those of another installation. Based upon a comparison of responses, they may further compare services provided by Human Resource Offices.

4.8.3.2. A CPF might describe their processes for collecting and analyzing supervisors' satisfaction with the quality of candidates. This might include their processes for conducting post-placement surveys. They may compare satisfaction levels internally--by organization, and externally--by other Air Force installations. Based upon their monthly analysis, the CPF may improve upon their post-placement surveys. For example, they may modify their survey process to collect timeliness and placement actions.

4.8.4. Customer Satisfaction (Item 7.4: Results). This Item addresses customer satisfaction and dissatisfaction levels. Show charts with information on trends in customer satisfaction. Segment by customer group, as appropriate.

4.8.4.1. The Support Group, for example, may show graphs portraying trends in customers' satisfaction levels with Child Care services. They may segment these charts by military:civilian or officer:enlisted.

4.8.4.2. A CPF may show graphs showing supervisors' satisfaction with the quality of referred candidates (post-placement surveys), classification appeal sustainment rates, or intern retention rates.

4.8.5. Customer Satisfaction Comparison (Item 7.5: Results). This Item compares an organization's customer satisfaction results with those of competitors.

4.8.5.1. For example, an installation may show charts comparing their personnel's satisfaction with recreational programs relative to personnel employed at other installations.

4.8.5.2. A CPF may show data comparing their training no show trend rate with that of other installations. Other examples may include a comparison of the number of candidate referrals returned without a selection, comparisons of customer satisfaction surveys (where similar survey instruments are used), and numbers of applicants not considered for employment.

EUGENE E. HABIGER, Lt General, USAF
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GLOSSARY OF REFERENCES AND ACRONYMS

References

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AFPD 90-2, *Inspector General - The Inspection System*

AFI 36-102, *Basic Authority and Responsibility for Civilian Personnel Management and Administration*

AFI 36-103, *Organizational Responsibility for Civilian Personnel Administration and Management*

AFI 90-501, *Air Force Criteria*

Brown, Mark Graham. *Baldrige Award Winning Quality, How to Interpret the Malcolm Baldrige Award Criteria*. Wisconsin: ASQC Quality Press

Malcolm Baldrige National Quality Award, 1995 Award Criteria, Maryland, US Department of Commerce, Technology Administration

Acronyms and Abbreviations

AFI Air Force Instruction

AFPD Air Force Policy Directive

CPF Civilian Personnel Flight

DCPDS Defense Civilian Personnel Data System

DESIRE Direct English Statement Information Retrieval

DoD Department of Defense

FEORP Federal Equal Opportunity Recruitment Program

IG Inspector General

MAJCOM Major Command

MBNQA Malcolm Baldrige National Quality Award

MSS Mission Support Squadron

NAF Non Appropriated Funds

OPM Office of Personnel Management

QAF Quality Air Force

QAFA Quality Air Force Assessment

RIF Reduction in Force

SF 52 Standard Form 52, Request for Personnel Action

TQM Total Quality Management

USA Unit Self Assessment

WG/CC Wing Commander

CIVILIAN PERSONNEL KEY PROCESSES

A2.1. Filling jobs. resulting in a quality work force
in a timely and streamlined manner
resulting in a diversified work force

A2.2. Managing civilian resources. resulting in fulfillment of mission needs
resulting in a fully executed civilian pay budget
resulting in employees being paid fairly

A2.3. Managing performance. resulting in a motivated and productive work force

A2.4. Educate, train, and develop personnel. resulting in a mission capable work force

A2.5. Promoting work force relations. resulting in equitable treatment
resulting in work force harmony

MERIT SYSTEM PRINCIPLES

- A3.1. Recruit from appropriate sources representing all segments of society
- A3.2. Select and advance:
- only qualified individuals
 - solely on their relative ability
 - after fair and open competition that assures equal opportunity
- A3.3. Treat employees fairly
- A3.4. Manage employees efficiently and effectively
- A3.5. Educate and train employees when it will result in better organizational or individual performance
- A3.6. Correct the performance of employees whose performance is inadequate
- A3.7. Separate those employees who cannot or will not meet performance expectations
- A3.8. Protect employees against arbitrary action, favoritism, and reprisal
- A3.9. Prohibit employees from using their official authority or influence to interfere with or affect the result of an election
- A3.10. Compensate employees on the basis of equal pay for work of equal value and to motivate and reward performance excellence
- A3.11. Employees must reflect high standards of integrity, conduct, and concern for the public interest

SCORING GUIDELINES APPROACH/DEPLOYMENT

Score	Approach/Deployment
0%	no systematic approach evident; anecdotal information
10% to 30%	beginning of a systematic approach to the primary purposes of the Item early stages of a transition from reacting to problems to a general improvement orientation major gaps exist in deployment that would inhibit progress in achieving the primary purposes of the Item
40% to 60%	a sound, systematic approach, responsive to the primary purposes of the Item a fact-based improvement process in place in key areas; more emphasis is placed on improvement than on reaction to problems no major gaps in deployment, though some areas or work units may be in very early stages of deployment
70% to 90%	a sound, systematic approach, responsive to the overall purposes of the Item a fact-based improvement process is a key management tool; clear evidence of refinement and improved integration as a result of improvement cycles and analysis approach is well-deployed, with no major gaps; deployment may vary in some areas or work units
100%	a sound, systematic approach, fully responsive to all the requirements of the Item a very strong, fact-based improvement process is a key management tool; strong refinement and integration - backed by excellent analysis approach is fully deployed without any significant weaknesses or gaps in any areas or work units

SCORING GUIDELINES RESULTS

Score	Results
0%	no results or poor results in areas reported
10% to 30%	early stages of developing trends; some improvements and/or early good performance levels in a few areas results not reported for many to most areas of importance to the applicant's key business requirements
40% to 60%	improvement trends and/or good performance levels reported for many to most areas of importance to the applicant's key business requirements no pattern of adverse trends and/or poor performance levels in areas of importance to the applicant's key business requirements some trends and/or current performance levels - evaluated against relevant comparisons and/or benchmarks - show areas of strength and/or good to very good relative performance levels
70% to 90%	current performance is good to excellent in most areas of importance to the applicant's key business requirements most improvement trends and/or performance levels are sustained many to most trends and/or current performance levels - evaluated against relevant comparisons and/or benchmarks - show areas of leadership and very good relative performance levels
100%	current performance is excellent in most areas of importance to the applicant's key business requirements excellent improvement trends and/or sustained excellent performance levels in most areas strong evidence of industry and benchmark leadership demonstrated in many areas